

01509097

0109 Rec'd PCT/PTO 27 SEP 2004 ²

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Tatsuo ITO et al. : **Mail Stop: PCT**
Serial No. NEW : Attorney Docket No. 2004_1513A
Filed September 27, 2004 :
OPTICAL HEAD DEVICE, OPTICAL : **THE COMMISSIONER IS AUTHORIZED**
RECORDING DEVICE, AND OPTICAL : **TO CHARGE ANY DEFICIENCY IN THE**
RECORDING METHOD : **FEEES FOR THIS PAPER TO DEPOSIT**
[Corresponding to PCT/JP2003/015372 : **ACCOUNT NO. 23-0975**
Filed December 2, 2003]

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication (*for U.S. National applications filed after June 30, 2003 and International applications that have entered U.S. National Stage after June 30, 2003*),
- ☐ each reference previously cited in the international application PCT/_____; and/or
- ☐ each reference previously cited in prior parent application Serial No. _____.

1a. ☒ This Information Disclosure Statement is submitted:

ATTACHMENT D

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification

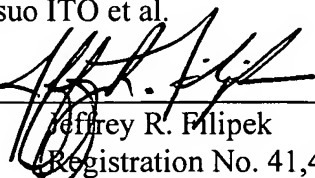
after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☒ an International Search Report (in the English language) submitted herewith,
 - c. ☒ the concise explanation contained in the specification of the present application at pages 2-3,
 - d. ☒ the concise explanation set forth in the attached English language abstract,
 - e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference:
- U.S. Patent No. 6,473,378 corresponds to Japanese Unexamined Patent Publication No. 2001-160233
- U.S. Patent No. 5,202,875 corresponds to Japanese Patent No. 2502884
- U.S. Patent Application Publication No. 2002/0105878 corresponds to Japanese Unexamined Patent Publication No. 2002-133694
5. ☒ An International Search Report citing one or more of the references is enclosed.

Respectfully submitted,

Tatsuo ITO et al.

By



Jeffrey R. Filipek

Registration No. 41,471

Attorney for Applicants

JRF/fs
Washington, D.C. 20006-1021
Telephone (202) 721-8200
Facsimile (202) 721-8250
September 27, 2004

U109 REC G PCI/PTO 27 SEP 2004

FORM PTO 1449 (modified)

ATTY DOCKET NO.
2004_1513ASERIAL NO.
NEW

10/509097

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: September 27, 2004

APPLICANT
Tatsuo ITO et al.FILING DATE
September 27, 2004

GROUP

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,473,378	10-29-02	Sato et al.			
	AB	5,202,875	4-13-93	Rosen et al.			
	AC	2002/0105878	8-8-02	Ogata et al.			
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AJ	10-269611	10-9-98	Japan			abstract	
	AK	2001-160233	6-12-01	Japan			abstract	
	AL	2003-132573	5-9-03	Japan			abstract	
	AM							
	AN							

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	
	AP	
	AQ	

EXAMINER

DATE CONSIDERED